



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/970,020	10/03/2001	Lirong Liu	107223-139 US

23483
HALE AND DORR, LLP
60 STATE STREET
BOSTON, MA 02109

COPY OF PAPERS
ORIGINALLY FILED

CONFIRMATION NO. 8697

FORMALITIES LETTER



OC000000007034934

Date Mailed: 11/07/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

02/14/2002 KZEWDIE 00000001 09970020

FILED UNDER 37 CFR 1.53(b)

01 FC:201	370.00 CH
02 FC:205	65.00 CH
03 FC:203	27.00 CH
04 FC:202	126.00 CH
05 FC:204	140.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$766.
 - \$234 for 13 total claims over 20.
 - \$252 for 3 independent claims over 3.
 - \$280 for multiple dependent claim surcharge.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1636.

03/12/2002 SSALEEKU 00000011 080219 09970020

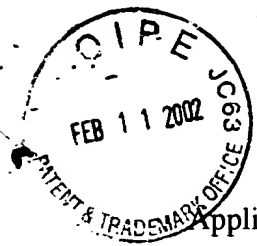
01 FC:203 90.00 CH

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Liu et al

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Serial No.: 09/970,020

Examiner: Not Yet Assigned

Filed: October 3, 2001

Group Art Unit: 1614

For: DEVELOPING A DELIVERY SYSTEM FOR MULTI-
PHARMACEUTICAL ACTIVE MATERIALS AT VARIOUS
RELEASE RATES

Attorney Docket No.: 107223-139

Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence and any enclosures referenced herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington D.C. 20231.

December 21, 2001
Date

Patricia Corrigan
Patricia Corrigan

Sir:

RESPONSE TO NOTICE OF MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application (Filing Date Granted) mailed November 7, 2001, enclosed for filing in the above-identified patent application are the following documents:

1. Executed Declaration and Power of Attorney;
2. Supplemental Information Data Sheet;
3. Fee Transmittal; and
4. Part 2 - Return Copy of Notice of Missing Parts of Application.

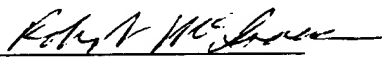
Enclosed is a self-addressed, postage prepaid postcard. Please date stamp the postcard indicating timely receipt by the Patent Office of the subject documents, and return it to us for our files.

Applicants respectfully note that small entity status is being claimed. The Commissioner is hereby authorized to charge **\$728.00** to Deposit Account No. 08-0219 for the additional claims fee, filing fee and surcharge for late filing of the oath. Applicants further note that the additional claims fee of \$234.00 is incorrectly calculated on the enclosed Notice to File Missing Parts. The application as filed has 23 claims resulting in an excess of 3 claims over 20, not 13 claims over 20 as indicated on the Notice. The correct additional claims fee, re-calculated for a small entity, is \$27.00.

Please charge any fee deficiency or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: 12/21/01


Robert McIsaac, Ph.D.
Registration No. 46,918
Attorney for Applicant

Hale and Dorr LLP
60 State Street
Boston, Massachusetts 02109
(617) 526-6000 (Telephone)
(617) 526-5000 (Facsimile)

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Please type a plus sign (+) inside this box ☒

PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Applicati n Number	09/970,020	
	Filing Date	October 3, 2001	
	First Named Inventor	Liu	
	Group Art Unit	1614	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	8	Attorney Docket Number	107223.139

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Executed Declaration	
	Supplemental Information Data Sheet	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Robert McIsaac, Reg No. 46,918, Hale and Dorr LLP
Signature	<i>Robert McIsaac</i>
Date	12/21/01

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 12/21/01		
Typed or printed name	Patricia Corrigan	
Signature	Patricia Corrigan	Date
		December 21, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 728.00

Complete if Known

Application Number 09/970,020
Filing Date 10/03/2001
First Named Inventor Lirong Liu
Examiner Name Not Yet Assigned
Group Art Unit 1614
Attorney Docket No. 107223-139

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ORIGINALLY FILED

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 08-0219
Deposit Account Name Hale and Dorr LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 340	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
23	-20** = 3	9.00	27.00
6	-3** = 3	42.00	126.00
Multiple Dependent		280.00	280.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 293.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 65.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert McIsaac, Ph.D.	Registration No. (Attorney/Agent)	46,918	Telephone	617-526-6000
Signature	<i>Robert McIsaac</i>	Date	10/11/01		

WARNING: Information on this form may be made public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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